

Revision Log

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Independent Assessments

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List of Acronyms and Abbreviations

LANL	Los Alamos National Laboratory	RRES	Risk Reduction and
PO	RRES-RS Program Office		Environmental Stewardship
PTL	Project Team Leader	RRES-RS	Risk Reduction and
NDCR	nonconformance deficiency		Environmental Stewardship
	corrective action report		Remediation Services Project
QII	quality integration and	UTR	University of California Technical
	improvement		Representative
QP	quality procedure		
QPPL	Quality Program Project Leader		

Independent Assessments

1.0 PURPOSE

This quality procedure (QP) states the responsibilities and describes the process for planning, scheduling, performing, and reporting independent assessments for the Los Alamos National Laboratory (LANL), Risk Reduction and Environmental Stewardship, Remediation Services (RRES-RS) Project.

2.0 SCOPE

2.1 All **RRES-RS Project participants** shall implement this mandatory QP when planning, scheduling, performing, and reporting independent assessments for the RRES-R Program.

2.2 **Subcontractors** performing work under the RRES-RS Project Quality Program shall follow this QP.

OR

2.3 **Subcontractors** may use the subcontractor's procedure for planning, scheduling, performing, and reporting independent assessments as long as the substitute meets the requirements prescribed by the RRES-RS Project, Quality Management Plan, and the RRES-RS Quality Program Project Leader (QPPL) approves the procedure before the subcontractor begins the designated activity.

3.0 TRAINING

3.1 **RRES-RS Project participants** shall train (e.g., read and/or classroom) to and use the current version of this QP; contact the author of this QP if the text is unclear.

3.2 **RRES-RS Project participants** using this QP shall document training in accordance with QP-2.2.

3.3 The **Quality Program Project Leader (QPPL)** shall monitor the proper implementation of this procedure and ensure that the appropriate personnel complete all applicable training assignments.

3.4 **RRES-RS Project participants** may request any needed assistance with implementation of this procedure from RRES-RS Project Quality Integration and Improvement (QII).

4.0 DEFINITIONS

4.1 *Assessment*—The act of reviewing, inspecting, testing, checking, conducting surveillances, performing audits, or otherwise determining and

documenting whether items, processes, or services meet specified requirements.

- 4.2 *Assessor*—An individual who participates in the performance of an assessment.
- 4.3 *Independent Assessment*—A planned and documented activity performed by QII and/or a third party organizations (e.g., Department of Energy, LANL, etc.) who are independent of the work activity, in order to determine by investigation, examination, or evaluation of objective evidence the extent to which the RRES-RS Project quality program is being implemented.
- 4.4 *Lead Assessor*—An individual who organizes and directs the performance of an assessment.

5.0 RESPONSIBLE PERSONNEL

The following personnel are responsible for activities identified in this procedure:

- Assessor
- Lead Assessor
- Project Team Leader
- Quality Program Project Leader
- RRES-RS Project Participants
- Subcontractors
- User

6.0 PROCEDURE

6.1 Schedule and Implement Independent Assessment

- 6.1.1 The **QPPL** shall ensure that an independent assessment schedule is developed and implemented for internal RRES-RS Project activities and selected external organizations, as appropriate.
- 6.1.2 The **QPPL** shall ensure that the schedule contains, at a minimum, the
 - name of the organization and/or the activity assessed;
 - assessment date(s);
 - assessment number; and
 - addressed Quality Management Plan criteria.

- 6.1.3 The **QPPL** shall update the assessment schedule annually, as appropriate.
- 6.1.4 The **QPPL** shall authorize the performance of unscheduled, independent assessments in order to supplement regularly - scheduled assessments in order to verify implementation of corrective action(s), as applicable).
- 6.2 Select Independent Assessment Team Selection
 - 6.2.1 The **QPPL** shall select a lead assessor certified in accordance with QP-10.2, with sufficient authority and operational freedom to conduct the assessment.
 - 6.2.2 The **Lead Assessor** shall select the assessment team, as appropriate using the same criteria as stated in action step 6.2.1.
 - 6.2.3 The **Lead Assessor** shall ensure that selected assessors demonstrate independence (e.g., direct operational responsibility) from assessed organizations and/or activities.
- 6.3 Plan Independent Assessment Planning
 - 6.3.1 The **Lead Assessor**, with the assistance of other team members, as applicable, shall prepare an assessment plan (see Attachment A).
 - 6.3.2 The **Lead Assessor** shall submit the plan to the QPPL for review/concurrence.
 - 6.3.3 The **Lead Assessor** shall orient the assessment team, if applicable, to the scope, purpose, and roles and responsibilities of the assessment.
 - 6.3.4 The **QPPL** shall provide (i.e., via memorandum, letter, or email) a copy of the assessment plan to the assessed organization's supervisor 15 calendar days as a minimum, prior to assessment. The notification should include the following:
 - assessment date(s);
 - assessment scope and purpose,
 - Lead Assessor's and team member's names, as applicable, and
 - assessment schedule, including the times for the pre-assessment conference and –post-assessment conference.
 - 6.3.5 The **Lead Assessor**, with team members' assistance, as applicable shall develop an assessment checklist from required documents, including the

- name of the assessed organization;
- assessment tracking number (i.e., Document Catalog Number in accordance with QP-4.10; and
- detailed list of assessment criteria and requirements for each criterion.

6.3.6 The **Lead Assessor** and assessment team, as applicable shall use the checklist to ensure assessment scope completion.

6.4 Assessment Process Implementation

6.4.1 On the scheduled date and time, the **Lead Assessor** shall hold a pre-assessment conference with members of the assessed organization and the assessment team in order to review the scope and purpose of the assessment, introduce the assessment team, and answer any applicable questions.

6.4.2 The **Lead Assessor** shall record pre-assessment conference attendance on Attachment B, Assessment Conference Attendance Record Form.

6.4.3 During the assessment, the **Lead Assessor** shall ensure that the assessment team records their observations on a checklist (Attachment C), including the following entries as a minimum:

- titles and revisions number of reviewed documents;
- names and titles of personnel interviewed;
- items checked;
- identified Observations (e.g., satisfactory or unsatisfactory), and
- any other pertinent information.

6.4.4 If nonconformances or deficiencies (e.g., observations, findings, etc.) are identified, the **Lead Assessor** shall consult the appropriate, responsible individual(s) to address them, and to initiate a Corrective Action Report (CAR) in accordance with QP-3.4.

6.4.5 If a significant condition adverse to quality is identified, the **Lead Assessor** shall inform the assessed organization's responsible supervisor of the problem.

6.4.6 Depending on the nature of the nonconformance and/or deficiency, the **Lead Assessor** shall implement a Stop Work Order in accordance with QP-10.3.

- 6.4.7 At the conclusion of the assessment and prior to conducting a post-assessment conference, the **Lead Assessor** shall meet with the assessment team to discuss the results of the assessment and to develop closing remarks for the post-assessment conference.
- 6.4.8 The **Lead Assessor** shall conduct a post-assessment conference with members of the organization or activity assessed and the assessment team to present the results of the assessment, and to answer any questions regarding the assessment results.
- 6.4.9 The **Lead Assessor** shall record post-assessment conference attendance on Attachment B, Assessment Conference Attendance Record Form.
- 6.5 Assessment Report Development
 - 6.5.1 The **Lead Assessor**, with the assistance of other team members, shall prepare an assessment report in accordance with Attachment D.
 - 6.5.2 The **Lead Assessor** shall report any nonconformances and/or deficiencies in accordance with QP-3.4,
 - 6.5.3 The **Lead Assessor** shall provide within 30 days a copy of the assessment report and any CARs to the QPPL for review and approval.
 - 6.5.4 The **QPPL** shall provide a copy of the assessment report and any associated CARs to the assessed organization via a memorandum, letter, or e-mail for review and corrective actions in accordance with this QP and QP-3.4.
 - 6.5.5 The **Lead Assessor** shall input any CARs into the CAR Tracking Spreadsheet and track to closure.

7.0 LESSONS LEARNED

- 7.1 Before performing work described in this QP, **RRES-RS Project participants** should go to the Department of Energy Lessons Learned Information Services home page, located at <http://www.tis.eh.doe.gov/II/II.html>, and/or to the LANL Lessons Learned Resources web page, located at http://www.lanl.gov/projects/lessons_learned/, and search for applicable lessons.
- 7.2 During work performance and/or after the completion of work activities, **RRES-RS Project participants**, as appropriate, shall identify, document,

and submit lessons learned in accordance with the LANL, Lessons Learned System located at http://www.lanl.gov/projects/lessons_learned/.

8.0 RECORDS

The **QPPL** shall submit the following records to the Records Processing Facility, in accordance with QP-4.4:

- Assessment plan
- Assessment checklist and assessment conference attendance sheets
- Assessment report (hard copy and electronic copy)
- Pertinent correspondence related to the assessment, e.g., letters, e-mails, oral communication, etc.
- Documented objective evidence pertinent to the assessment scope
- Completed Document Signature Form

9.0 REFERENCES

To properly implement this QP, **RRES-RS Project participants** should become familiar with the contents of the following documents, located at http://erinternal.lanl.gov/home_links/Library_proc.shtml:

- RRES-RS Project Quality Management Plan
- QP-2.2, Personnel Orientation and Training
- QP-3.4, Managing Nonconformances/Deficiencies and Corrective Actions
- QP-4.4, Records Transmittal to the Records Processing Facility
- QP-4.10, Document Development and Approval Process: Peer Review not Required
- QP-10.2, Lead Assessor Certification and Assessors Qualifications
- QP-10.3, Stop Work Order

10.0 ATTACHMENTS

The user of this QP may locate all forms associated with this procedure at <http://erinternal.lanl.gov/Quality/user/forms.asp>.

Attachment A: Assessment Plan, (1 page)

Attachment B: Assessment Conference Attendance Record Form, (1 page)

Attachment C: Assessment Checklist Form (1 page)

Attachment D: Assessment Report Format "Example," (5 pages)

[Using a token card, click here to record "self-study" training to this procedure.](#)

If you do not possess a token card or encounter problems, contact the RRES-ECR training specialist.

Assessment Plan	
Assessment Number: 2003-	Contract Number:
Assessed Organization/Location:	
Assessment Scope/Purpose/Type:	
Assessment Requirements:	
Assessed Procedures/Specifications:	
ASSESSMENT TEAM ASSIGNMENTS	ASSESSMENT SCHEDULE
Lead Assessor:	Assessment Dates:
Assessors:	Pre-Assessment Conference: Time:
Technical Representatives:	Post-Assessment Conference: Time:
Reference Documents:	
Follow-up Items:	Special Concerns/Items:
Lead Assessor: _____ (Print name then sign) (Date)	
<div style="text-align: center;">REVIEW AND APPROVAL PRIOR TO ASSESSMENT</div>	
QPPL: _____ (Print name then sign) (Date)	
QP-10.1, R3	Los Alamos National Laboratory RRES-Remediation Services Project

[illegible]

Assessment Checklist

ASSESSMENT NUMBER: _____ DATE: _____ ASSESSOR: _____
 ORGANIZATION ASSESSED: _____

RESULT KEY

S = SATISFACTORY

U = UNSATISFACTORY

N/A – NOT APPLICABLE

NE = NOT EVALUATED

Checklist Item No.	Reference Document (Include No., Sect/Para)	Verification Requirements	Result Key	Verification Conducted Describe documents reviewed. Personnel interviews and activities observed.
1				
2				
3				
4				
5				
6				
7				

QP-10.1, R3

Los Alamos National Laboratory
RRES-Remediation Services Project



Independent Assessment Report

[Enter Name of Assessed Organization]
Quality Program Implementation
Independent (Performance Based) Assessment Report
No. 200X-XXXX

for the
Risk Reduction and Environmental Stewardship—Remediation
Services Project

Prepared for:

Prepared by:

Date:

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Independent
Assessment Report
No. 200X-XXXX

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PART 1—EXECUTIVE SUMMARY [OPTIONAL SECTION]

1.1 Assessment Scope

[Enter a statement that addresses the purpose and scope of the assessment, e.g., statements in Assessment Plan. Specific areas assessed are quality program management, personnel training and qualification/certification, quality improvement, document control, records management, work processes, design development and management, procurement, inspection and acceptance testing, management and independent assessment processes. Completed tasks, randomly selected, verified compliance to the specific assessed areas].

1.2 Assessment Approach

[Enter the following boilerplate text, as appropriate.]

An assessment team, which consisted of [enter the name(s) and title of the team e.g., RRES-RS Project Quality Liaison/Lead Assessor] interviewed [enter the name of the assessed organization] employees as identified in section 2.4 and reviewed documentation as identified in section 2.5.

PART 2—ASSESSMENT IMPLEMENTATION

2.1 Assessment Scope

[Enter a statement such as the example provided below.]

Example:

The Quality Integration and Improvement (QII) Team conducted this Risk Reduction and Environmental Stewardship—Remediation Services Project's (RRES-RS) independent assessment on the Quality Program of Washington Group International, Incorporated Energy and Environment Los Alamos, New Mexico Area Office. The Assessment Plan Number ER2002-0279 describes the scope and purpose of this assessment. The performance of Washington Group International, Incorporated Energy and Environment (WGII) Los Alamos, New Mexico Area Office personnel and selected field activities were evaluated for compliance to specific 10 criteria of the RRES-RS Quality Management Plan and WGII's Quality Program and associated implementing procedures. The QII Team conducted In depth interviews in order to validate the results of reviewed document.

2.2 Assessment Dates

[Enter a statement such as the example provided below.]

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Example:

This independent assessment commenced on 04/01/2003 with a desk review of documents submitted by WGII Los Alamos, New Mexico Area Office and discussions with Los Alamos National Laboratory (LANL), University of California Technical Representatives (UTRs) (e.g., RRES-RS Project Team Leaders). The assessment was further implemented at the WGII Los Alamos, New Mexico Area Office on 05/01/2003 with an entrance meeting with key personnel. The assessor provided a formal presentation in order to answer any questions the assessed organization may have, and to familiarize them with the scope of this assessment and the planned approach the Team utilizes. The assessment continued through 05/20/2003 and concluded with a formal closeout meeting on that date.

2.3 Assessment Team

[If only one assessor performs the assessment, call out Assessor.]

The following individual(s) conducted the assessment:

- *[Enter the names and titles of the assessment team, if applicable.]*

-

2.4 Personnel Contacted

The Team interviewed the following [enter the name of the organization assessed] employees during this assessment:

- *[Enter the name and title of the employee.]*

-

Documents Reviewed

[Enter the following boilerplate text.]

The Team, in order to verify the qualification and effectiveness of the [enter the name of the assessed organization] and to corroborate issues disclosed during the interviewing process, reviewed the documents listed below. *[Enter the documents by title, revision number and effective date of issue.]*

Governing Quality Documents:

-

-

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Assessment Report
No. 2003-XXXX

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PART 3—ASSESSMENT APPROACH

3.1 Assessment Approach

[Enter a statement that addresses how the assessment was conducted.]

Example:

The Team interviewed WGII personnel who represented a broad cross section of technical and support disciplines and leadership levels. Each individual contacted by the team supported the assessment process and provided the assistance needed to identify records that related to quality management processes.

The RRES-RS Project QII Assessment Plan, No. ER2003-0279, established the assessment scope, purpose, and documents used to determine the degree WGII met the Quality Criteria imposed by the RRES-RS Project Quality Management Plan, and the WGII, LANL Contractor's Quality Management Program (e.g., Criterion One, "Quality Program." Criterion Two, "Personnel Training and Qualification," Criterion Three, "Quality Improvement." Criterion Four, Documents and Records." Criterion Five, "Work Processes," Criterion Six, "Design," Criterion Seven, "Procurement", Criterion Eight, "Inspection and Acceptance Testing", Criterion Nine, "Management Assessment," and Criterion Ten, "Independent Assessments").

The Team also traced documents and records of completed work to WGII's records vault in order to evaluate proper transmittal of completed quality records for project preservation and retention.

3.2 Assessment Results, Deficiencies, and Corrective Action Recommendations

[Enter statements that address how assessed each assessment criterion.]

Example:

Using an approved RRES-RS Project, Supplier Assessment Checklist the assessment team verified the effectiveness of WGII in meeting RRES-RS Project requirements for managing and implementing a quality program. The Team made observations and noted the following deficiencies:

Deficiency 1

Example:

Criterion Four, Documents and Records – WGII provided documented, objective evidence that verified WGII's implementation of the appropriate management of documents and records. The Team accomplished further verification by selecting a number of records (i.e., by document and record tracking numbers) from the WGII document and records database to review (e.g., cradle to grave process).

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The review consisted of verifying database information against "hard copy," objective evidence maintained in the records vault (e.g., document tracking numbers, type of documents, number of pages in each file, and the verification of the management of the WGII records vault. As a result, the Team found that WGII demonstrates compliance with procedural and quality program requirements.

The Team also performed a cross check of record packages submitted to the RRES-RS Project Records Processing Facility, as required by RRES-RS Project Statements of Work.

The Team noted the following deficiency and/or observation:

Requirement: [Enter the requirement, e.g., WGII QAP No. 6.1, Design Control.]

- Example: Section 5.0 states: "Design drawings, design specifications, design studies, field notebooks, calculations, design reports, design assessments, design input review and approval, design comments and resolutions, and associated design correspondence are QA records and shall be retained in accordance with QAP-4.2, Site Records Management."
-

Deficiency (NDCR No. ER2003-XXXX):

Contrary to the procedural requirement above . [Enter a statement that describes the nonconformance and/or deficiency.]

Observation: [Enter a statement that describes an observation, as appropriate.]

Corrective Action Recommendation:

[Enter a statement that describes the recommended corrective action. This section is optional.]

PART 4—CONCLUSION

4.1 Conclusion

[Enter a closing statement that addresses the assessment processes (e.g., interactions with the assessed organization and employees interviewed, any issues resolved prior to completing the assessment, anything noteworthy and/or significant impacts to quality, stop work, or recommendations for approving placement on or continuation on the ASL etc.)]

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